Practitioner's Docket No. U 016441-4

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PATENT TRADEMARK OFFICE

CHAPTER II

TRANSMITTAL LETTER TO THE UNITED STATES ELECTED OFFICE (EO/US) (ENTRY INTO U.S. NATIONAL PHASE UNDER CHAPTER II)

INTERNATIONAL FILING DATE INTERNATIONAL APPLICATION NO. PRIORITY DATE CLAIMED 17 FEBRUARY 2005 18 FEBRUARY 2004 PCT/JP2005/002495 TITLE OF INVENTION ORGANIC THIN-FILM TRANSISTOR AND FABRICATION METHOD THEREOF AND ORGANIC THIN-FILM DEVICE APPLICANT(S) 1. INOUE, Youji TOKITO, Shizuo 2. 3. KOBAYASHI, Masafumi GAO, Yuan

Mail Stop PCT Commissioner for Patents P. O. Box 1450 Alexandria, VA 22313-1450

ATTENTION: EO/US

CERTIFICATION UNDER 37 C.F.R. 1.10*

(Express Mail label number is mandatory.) (Express Mail certification is optional.)

I hereby certify that this correspondence and the documents referred to as attached therein are being deposited with the United States Postal Service on this date <u>August 17, 2006</u>, in an envelope as "Express Mail Post Office to Addressee," Mailing Label Number <u>EV 815 585 552 US</u>, addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

GERALDINE MARTI

(type or print name of person mailing paper)

Signature of person mailing paper

WARNING:

Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

*WARNING:

Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

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NOTE: To avoid abandonment of the application, the applicant shall furnish to the USPTO, not later than the expiration of 30 months from the priority date: (1) a copy of the international application, unless it has been previously communicated by the International Bureau or unless it was originally filed in the USPTO; and (2) the basic national fee (see 37 C.F.R. § 1.492(a)). The 30-month time limit may not be extended. 37 C.F.R. § 1.495(a) and (b).

WARNING:

Where the items are those which can be submitted to complete the entry of the international application into the national phase are subsequent to 30 months from the priority date the application is still considered to be in the international state and if mailing procedures are utilized to obtain a date the express mail procedure of 37 C.F.R. §1.10 must be used (since international application papers are not covered by an ordinary certificate of mailing - See 37 C.F.R. §1.8.

NOTE: Documents and fees must be clearly identified as a submission to enter the national state under 35 USC 371 otherwise the submission will be considered as being made under 35 USC 111. 37 C.F.R. § 1.494(f).

- 1. Applicant herewith submits to the United States Elected Office (EO/US) the following items under 35 U.S.C. 371:
 - a. [X] This express request to immediately begin national examination procedures (35 U.S.C. 371(f)).
 - b. [X] The U.S. National Fee (35 U.S.C. 371(c)(1)) and other fees (37 C.F.R. § 1.492) as indicated below:
 - c. [] ADDED PAGES FOR APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED

NOTE: § 1.495 Entering the national stage in the United States of America.

- (a) The applicant in an international application must fulfill the requirements of 35 U.S.C 371 within the time periods set forth in paragraphs (b) and (c) of this section in order to prevent the abandonment of the international application as to the United States of America. The thirty month time period set forth in paragraphs (b), (c) (d), (e) and (h) of this section may not be extended. International applications for which those requirements are timely fulfilled will enter the national stage and obtain an examination as to the patentability of the invention in the United States of America.
- (b) To avoid abandonment of the application, the applicant shall furnish to the United Stats Patent and Trademark Office not later than the expiration of thirty months from the priority date:
- (1) A copy of the international application, unless it has been previously communicated by the International Bureau or unless it was originally filed in the United States Patent and Trademark Office; and
 - (2) The basic national fee (see § 1.492(a)).
- (c)(1) If applicant complies with paragraph (b) of this section before expiration of thirty months from the priority date, the Office will notify the applicant if he or she has omitted any of:
- (i) A translation of the international application, as filed, into the English language, if it was originally filed in another language (35 U.S.C. 371(c)(2));
- (ii) The oath or declaration of the inventor (35 U.S.C. 371(c)(4) and § 1.497), if a declaration of inventorship in compliance with § 1.497 has not been previously submitted in the international application under PCT Rule 4.17 (iv) within the time limits provided for in PCT Rule 26ter.1;
 - (ii) The search fee set forth in $\S 1.492(c)$; and
 - (iv) The examination fee set forth in \S 1.492(c); and
 - (v) Any application size fee required by § 1.492(j)

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- (2) A notice under paragraph (c)(1) of this section will set a period of time within which applicant must provide any omitted translation, oath or declaration of the inventor, search fee set forth in \S 1.492(b), examination fee set forth in \S 1.492(c), and any application size fee required by \S 1.492(j) in order to avoid abandonment of the application.
- (3) The payment of the processing fee set forth in \S 1.492(i) is required for acceptance of English translation later than the expiration of thirty months after the priority date. The payment of the surcharge set forth in \S 1.429(h) is required for acceptance of the oath or declaration the inventor later than the expiration of thirty months after the priority date.

2. Fees

CLAIMS FEE *	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS*	14 - 20 =		x \$ 50.00 =	\$
	INDEPENDENT CLAIMS*	3 -3=		x \$ 200.00 =	
	MULTIPLE DEPENDE	NT CLAIM(S) (if ap	plicable) + \$360.0	0	
FILING FEES**	[] No Search 1 [x] Exam Fee r [] Search and or IPER con [] Search and or IPER con [] Additional for drawings fill sheets (example or computer electronic residual for the search and t	Fee earch Report filed (\$4 Report (\$5 ot paid to U. S. (\$2 Exam fee with U.S. WO additions not satisfied (\$1 Exam fee with U.S. WO additions satisfied (\$0 dee for specification and ed in paper over 100 cluding sequence listing program listing filed in ledium). The fee is \$250 litional 50 sheets paper or		400.00) 500.00) 200.00) 100.00) 0.00)	\$300.00
		= \$ 900.00			
SMALL ENTITY	Reduction by ½ for filing filed. (note 37 CFR 1.9,	- 900.00			
1	Subtotal				
Total National Fee \$ 9					\$ 900.00
	Fee for recording the enc (See Item 13 below). See				
TOTAL			Т	otal Fees enclosed	\$ 900.00

^{*}May include Preliminary Amendment (see page 8) reducing the number of claims.

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	i.	[x]	A che	ck in the amount of <u>\$900.00</u> to cover the above fees is enclosed.	
ii.		ίi		e charge Account No. 12-0425 in the amount of \$	
		A dup		ppy of this sheet is enclosed.	
Trademark Office no national fee (see § I WARNING: If the translation of submitted by the app met within a time per forth in § 1.492(e) is months after the privacceptance of an Encomply with these re		ark Office	nment of the application the applicant shall furnish to the United States Patent and not later than the expiration of 30 months from the priority date: * * * (2) the basic 1.492(a)). The 30-month time limit may not be extended." 37 C.F.R. § 1.495(b).		
		If the translation of the international application and/or the oath or declaration have not been submitted by the applicant within thirty (30) months from the priority date, such requirements may be met within a time period set by the Office. 37 C.F.R. § $1.495(b)(2)$. The payment of the surcharge set forth in § $1.492(e)$ is required as a condition for accepting the oath or declaration later than thirty (30) months after the priority date. The payment of the processing fee set forth in § $1.492(f)$ is required for acceptance of an English translation later than thirty (30) months after the priority date. Failure to comply with these requirements will result in abandonment of the application. The provisions of § 1.136 apply to the period which is set. Notice of Jan. 3, 1993, 1147 O.G. 29 to 40.			
	[]	Assert	ion of S	mall Entity Status	
	[]	Applic [] []	a Stat	eby asserts status as a small entity under 37 C.F.R. § 1.27 by. ement or Written Assertion attached. yment	
NOTE:				with the assertion of small entity status, whether by a written specific declaration thereof utity of the basic filing fee or the fee for the entry into the national phase as states:	
		should r entity st establish entitlem	nake a de atus base n small ei ent to smo	small entity status. Any party (person, small business concern or nonprofit organization) termination, pursuant to paragraph (f) of this section, of entitlement to be accorded smalled on the definitions set forth in paragraph (a) of this section, and must, in order to ntity status for the purpose of paying small entity fees, actually make an assertion of all entity status, in the manner set forth in paragraph (c)(1) or (c)(3) of this section, in the tent in which such small entity fees are to be paid.	
		(1)		on by writing. Small entity status may be established by a written assertion of entitlement ll entity status. A written assertion must:	
			(i)	Be clearly identifiable;	
			(ii)	Be signed (see paragraph (c)(2) of this section); and	
			(:::)	Convey the concept of antitlement to small entity status, such as by stating that	

(2) Parties who can sign and file the written assertion. The written assertion can be signed by:

to comply with the assertion requirement.

(i) One of the parties identified in §§ 1.33(b) (e.g., an attorney or agent registered with the Office), §§ 3.73(b) of this chapter notwithstanding, who can also file the written assertion;

applicant is a small entity, or that small entity status is entitled to be asserted for the application or patent. While no specific words or wording are required to assert small entity status, the intent to assert small entity status must be clearly indicated in order

(ii) At least one of the individuals identified as an inventor (even though a §§ 1.63 executed oath or declaration has not been submitted), notwithstanding §§ 1.33(b)(4), who can also file the written assertion pursuant to the exception under §§ 1.33(b) of this part; or

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- An assignee of an undivided part interest, notwithstanding §§ 1.33(b)(3) and 3./73(b) (iii) of this chapter, but the partial assignee cannot file the assertion without resort to a party identified under §§ 1.33(b) of this part.
- (3) Assertion by payment of the small entity basic filing or basic national fee. The payment, by any party, of the exact amount of one of the small entity basic filing fees set forth in §§ 1.16(a), (f), (g), (h), or (k), or one of the small entity basic national fees set forth in §§ 1.492(a)(1), (a)(2), (a)(3), (a)(4) or (a)(5), will be treated as a written assertion of entitlement to small entity status even if the type of basic filing or basic national fee is inadvertently selected in error.
 - If the Office accords small entity status based on payment of a small entity basic filing or basic national fee under paragraph (c)(3) of this section that is not applicable to that application, any balance of the small entity fee that is applicable to that application will be due along with the appropriate surcharge set forth in §§ 1.16(e) or §§ 1.16(1).
 - (ii) The payment of any small entity fee other than those set forth in paragraph (c)(3) of this section (whether in the exact fee amount or not) will not be treated as a written assertion of entitlement to small entity status and will not be sufficient to establish small entity status in an application or a patent."
- A copy of the International application as filed (35 U.S.C. 371(c)(2)): 3. [X]

is transmitted herewith.

[]

Section 1.495 (b) was amended to require that the basic national fee and a copy of the international application must NOTE: be filed with the Office by 30 months from the priority date to avoid abandonment "The International Bureau normally provides the copy of the international application to the Office in accordance with PCT Article 20. At the same time, the International Bureau notifies applicant of the communication to the Office. In accordance with PCT Rule 47.1, that notice shall be accepted by all designated offices as conclusive evidence that the communication has duly taken place. Thus, if the applicant desires to enter the national stage, the applicant normally need only check to be sure the notice from the International Bureau has been received and then pay the basic national fee by 30 months from the priority date." Notice of Jan. 7, 1993, 1147 O.G. 29 to 40, at 35-36. See item 14c below.

	a.	[] is transmitted herewith.
	b.	is not required, as the application was filed with the United States Receiving
		Office.
	c.	[X] has been transmitted
		i. [X] by the International Bureau.
		Date of mailing of the application (from form PCT/IB/308): 22 September
		<u>2005</u>
		ii. [] by applicant on
		Date
4.	[X]	A translation of the International application into the English language (35 U.S.C. 371(c)(2)):
	a.	[X] is transmitted herewith.
	b.	[] is not required as the application was filed in English.
	c.	[] was previously transmitted by applicant on
		Date
	d.	[] will follow.

NOTE: 37 C.F.R. § 1.495(c): "If applicant complies with paragraph (b) of this section before expiration of thirty months from the priority date but omits . . . a translation of the international application, as filed, into the English language, if it was originally filed in another language (35 U.S.C. 371(c)(2)) . . . applicant will be so notified and given a period of time within which to file the translation . . . in order to prevent abandonment of the application. The payment of the processing fee set forth in § 1.492(f) is required for acceptance of an English translation later than the expiration of thirty months after the priority date A 'Sequence Listing' need not be translated if the "Sequence Listing' complies with PCT Rule 12.1(d) and the description complies with PCT Rule 5.2(b)."

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3.			371(c)(3)):		
NOTE:	The Notice of January 7, 1993 points out that 37 C.F.R. § 1.495(a) was amended to clarify the existing and conting practice that PCT Article 19 amendments must be submitted by 30 months from the priority date and this decomay not be extended. The Notice further advises that: "The failure to do so will not result in loss of the subject to of the PCT Article 19 amendments. Applicant may submit that subject matter in a preliminary amendment filed section 1.121. In many cases, filing an amendment under section 1.121 is preferable since grammatical or idio errors may be corrected." 1147 O.G. 29-40, at 36.				
NOTE:	amendm thirty mo	ents into E onths from	l): "A copy of any amendments to the claims made under PCT Article 19, and a translation of thos inglish, if they were made in another language, must be furnished not later than the expiration of the priority date. Amendments under PCT Article 19 which are not received by the expiration of the priority date will be considered to be canceled."		
	a. b.	[] [] i. ii.	are transmitted herewith. have been transmitted [] by the International Bureau. Date of mailing of the amendment (from form PCT/IB/308): [] by applicant on Date		
	c.	[X] i. ii.	have not been transmitted as [X] applicant chose not to make amendments under PCT Article 19. Date of mailing of Search Report (from form PCT/ISA/210): 31 MAY 2005 [] the time limit for the submission of amendments has not yet expired. The amendments or a statement that amendments have not been made will be transmitted before the expiration of the time limit under PCT Rule 46.1.		
6.	[X] a. b. c. d.	A trans 371(c)([] [] [] [X]	lation of the amendments to the claims under PCT Article 19 (38 U.S.C. 3)): is transmitted herewith. will follow is not required as the amendments were made in the English language. has not been transmitted for reasons indicated at point 5(c) above.		
7.	[X]	A copy [X]	of the international examination report (PCT/IPEA/409) is transmitted herewith. is not required as the application was filed with the United States Receiving Office.		
8.	[X] a. b.	Annex([X]	es) to the international preliminary examination report is/are transmitted herewith. is/are not required as the application was filed with the United States Receiving Office.		

9.	[X]	A trans	anslation of the annexes to the international preliminary examination report			
NOTE:	37 C.F.R. § 1.497(e) "A translation into English of any annexes to an international preliminary examination repe (if applicable), if the annexes were made in another language, must be furnished not later than the expiration of this months form the priority date. Translations of the annexes which are not received by the expiration of thirty months from the priority date may be submitted within any period set pursuant to paragraph (c) of this section accompanies by the processing fee set forth in § 1.492(f). Annexes for which translations are not timely received will be consider canceled."					
	a. b.	[X] []	is transmitted herewith. is not required as the annexes are in the English language.			
10.	An oath or declaration of the inventor (35 U.S.C. 371(c)(4)) complying with U.S.C. 115					
	a.	[]	was previously submitted by applicant on . Date			
	b.	[X] i.	is submitted herewith, and such oath or declaration [] is attached to the application.			
		ii.	[X] identifies the application and any amendments under PCT Article 19 that were transmitted as stated in points 3(b) or 3(c) and 5(b); and states that they were reviewed by the inventor as required by 37 C.F.R. 1.70.			
	c.	[]	will follow.			
NOTE:	the prior declarati application notified of of the app	C.F.R. § 1.495(c): "If applicant complies with paragraph (b) of this section before expiration of thirty months from priority date but omits the oath or declaration of the inventor (35 U.S.C. 371(c)(4) and § 1.497), if a laration of inventorship in compliance with § 1.497 has not been previously submitted in the international dication under PCT Rule 4.17(iv) within the time limits provided for in PCT Rule 26ter.1, applicant will be so lifted and given a period of time within which to file the oath or declaration in order to prevent abandonment the application The payment of the surcharge set forth in § 1.492(e) is required for acceptance of the oath or laration of the inventor later than the expiration of thirty months after the priority date."				
Other d	locument	t(s) or in	formation included:			
11.	[X] An International Search Report (PCT/ISA/210) or Declaration under PCT Article 17(2)(a):					
	a.	[X]	is transmitted herewith.			
	b.	[]	has been transmitted by the International Bureau. Date of mailing (from form PCT/IB/308):			
	c.	[]	is not required, as the application was searched by the United States International Searching Authority.			
	d.	[]	will be transmitted promptly upon request.			
	e.	[]	has been submitted by applicant on			
			Date			
12.	[X]		ormation Disclosure Statement under 37 C.F.R. 1.97 and 1.98:			
	a.	[X]	is transmitted herewith.			
		[X]	Also transmitted herewith is/are: Form PTO-1449 (PTO/SB/08A and 08B).			
		[X]	Copies of citations listed.			
	b.	[]	will be transmitted within THREE MONTHS of the date of submission of			
			requirements under 35 U.S.C. 371(c).			
	C.	[]	was previously submitted by applicant on Date			

13.	[X]	An assignment document is transmitted herewith for recording.			
		rate [X] "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING PATENT APPLICATION" or [] FORM PTO 1595 is also attached.			
14.	[X] a. b. c. d.	Additional documents: [X] Copy of request (PCT/RO/101) [X] International Publication No. WO 2005/078816 A1 i. [] Specification, claims and drawing ii. [X] Front page only [X] Preliminary amendment (37 C.F.R. § 1.121) [X] Other (1) FORM PCT/IB/304 (2) FORM PCT/IB/308 (FIRST NOTICE) (3) FORM PCT/IB/308 (SECOND & SUPPLEMENTARY NOTICE) (4) FORM PCT/ISA/220 (5) FORM PCT/ISA/237 (WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY) (6) FORM PCT/IPEA/401 (DEMAND) (7) FORM PCT/IPEA/416			
15.	[X] a. b.	The above checked items are being transmitted [X] before 30 months from any claimed priority date. [] after 30 months.			
16.	[] Certain requirements under 35 U.S.C. 371 were previously submitted by the applicant on , namely:				
		AUTHORIZATION TO CHARGE ADDITIONAL FEES			
WARNI	NG:	Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges if extra claims are authorized.			
NOTE:	E: "A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1:136(a)(3).				
NOTE:	nor will	its of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if d, by credit to a deposit account." 37 C.F.R. § 1.26(a).			
•	[X] The Commissioner is hereby authorized to charge the following additional fees that may be required by this paper and during the entire pendency of this application to Account No. 12-0425.				
		[V] 27 C F D 1 402(a)(1) (basic filing fee)			

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WAR	NI	VG:

Because failure to pay the national fee within 30 months without extension (37 C.F.R. \S 1.495(b)(2)) results in abandonment of the application, it would be best to always check the above box.

[]	37 C.F.R. 1.492(b)	(search fee)
[]	37 C.F.R. 1.492(b)	(exam fee)
[]	37 C.F.R. 1.492(b)	(claim fees)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. § 1.492(d)), it might be best not to authorize the PTO to charge additional claim fees, except possible when dealing with amendments after final action.

- [X] 37 C.F.R. 1.16(s) (spec and drawing, each 50 pages over 100)
- [X] 37 C.F.R. 1.17 (application processing fees)
- [X] 37 C.F.R. 1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a).

NOTE: 37 C.F.R. 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application... prior to paying, or at the time of paying... issue fee." From the wording of 37 C.F.R. § 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

- [] 37 C.F.R. § 1.492(e) and (f) (surcharge fees for filing the declaration and/or filing an English translation of an International Application later than 30 months after the priority date).
- [X] Please credit any overpayments to deposit account 12-0425.

SIGNATURE OF PRACTITIONER

Reg. No.: 25,858

WILLIAM R. EVANS (type or print name of practitioner)

Tel. No.: (212)708-1930

P.O. Address

Customer No.:00140

c/o Ladas & Parry LLP 26 West 61st Street

New York, N.Y. 10023

00140

PATENT TRADEMARK OFFICE

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Attorney Docket No.: U 016441-4

CHAPTER II

Mail Stop PCT Commissioner for Patents P. O. Box 1450 Alexandria, VA 22313-1450

ATTENTION: EO/US

CERTIFICATION UNDER 37 C.F.R. 1.10*

(Express Mail label number is mandatory.) (Express Mail certification is optional.)

I hereby certify that this correspondence and the documents referred to as attached therein are being deposited with the United States Postal Service on this date August 17, 2006, in an envelope as "Express Mail Post Office to Addressee", m ailing Label Number 815 585 552 US, addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

GERALDINE MARTI

(type or print name of person mailing paper)

WARNING:

Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. 1.8 cannot be used

to obtain a date of mailing or transmission for this correspondence.

*WARNING:

Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label

placed thereon prior to mailing. 37 C.F.R. 1.10(b).

"Since the filing of correspondence under \S 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(Assignment (Document) Cover Sheet—page 1 of 3) 13-10